

**Access Level Record for Serials
Draft Cataloging Guidelines
(Draft 12/02/05 update2 01/17/06)**

*NOTE: Items or information in italics and preceded by “**,” are for information and discussion only and will be omitted from the final Guidelines.*

The mandatory data elements and following guidelines set the standard for the basic CONSER record, and replace the different levels of CONSER records currently available (minimal, core, and full). Every record in the database will minimally contain the data indicated. Catalogers are free to add additional fields and data elements to their records to meet local needs (e.g. call number fields), and these may be included as part of the national shared record, unless specifically prohibited (e.g. local URLs). Some of the elements omitted in these guidelines (e.g., city of publication) may be obtained in future directly from the publisher or other intermediaries, for example, through automated extraction from ONIX data.

One of the goals of the Access Level Record is to achieve efficiencies by eliminating redundancies. However, the Working Group recognized that a certain amount of redundancy in the MARC bibliographic record needs to be maintained at present because of the differing needs of a human user, who needs eye-readable material for identification, and a machine search, which is dependent on coded information, as can be seen in the guidelines for handling language information. More automated support from OPAC vendors could minimize the cataloger’s work, by automatically generating the eye-readable information from the coded data.

*****Punctuation :** The Working Group considered proposing changes to current practice to regularize terminal punctuation, in particular. Barbara Tillett indicated that ISBD punctuation will be addressed in RDA. As for other punctuation, such as the statements present in MARC 21 Bibliographic and the CEG, Barbara indicated that systems and vendors were tied to current punctuation practices and any changes would need to be worked out with them. In the final Cataloging Guidelines, this topic will be omitted but the final report can recommend that regularizing punctuation be pursued via appropriate channels.*

Leader and fixed fields

It is required to code only the first byte of the 006 for additional material characteristics, “Form of material”

It is required to code only the first two bytes of the 007: “Category of material” and “Specific material designation.”

Code 008 byte 21 as usual*

*****For the future, consider aligning the definition of the fixed field value “periodicals” with the subject subdivision “periodicals” by proposing changes in LC’s definition in***

the Subject Cataloging Manual: Subjects Section H1927, so the subjects and fixed fields are in congruence. It will be important to check for any negative consequences to serials control if this approach is taken.

It is required to code 008 byte 22 only for microforms.

Main entry heading

After applying existing rules and rule interpretations, in any case where the cataloger is still in doubt as to whether the main entry should be under title or corporate body, if the title is distinctive, designate the title proper as main entry and record relevant body access point(s) as added entry heading(s); if the title is generic, i.e., if the title consists solely of words indicating type of resource and/or periodicity of resource, choose the corporate body as the main entry.

Uniform title

It is not required to create or add a uniform title (either as a main entry heading or in conjunction with a personal or corporate name main entry heading) for translations or language editions. Instead, use an added entry to provide collocation with the original language edition.

***Barbara Tillett suggested that we submit a proposal to change AACR Rules 21.14 and 25.3C to make this possible.*

It is not required to create or add a uniform title (either as a main entry heading or in conjunction with a personal or corporate name main entry heading) in order to resolve conflicts according to AACR 25.5B except 1) when cataloging a monographic series or 2) when the title consists solely of a word or words indicating the type of resource or the periodicity of the resource, e.g., “monthly newsletter,” “journal,” “biennial working papers,” and there is no 1XX in the record. Continue to create or add uniform titles as required for legal materials and other cases of collocating (as opposed to “distinguishing”) uniform titles.

***It has been suggested that the above exception for generic titles be removed and that generic titles be used as main entries when the rules call for title main entry. The advantage would be that no new record would be needed when the corporate body changed. A concern would be lack of harmonization with ISSN if the corporate body changed but no new record was created. One possible solution would be to recommend that ISSN rules incorporate the conditions of AACR Rule 21.1B2 so that some generic titles would be qualified by body (those that would be entered under corporate body in AACR2) and others by place (those entered under title in AACR2). Whether the ISSN Network would accept the complexity of Rule 21.1B2, and whether that rule will carry over as is into RDA are issues to be considered. Your comments are welcome!*

If an institution needs a unique title for citation purposes, use the rules for uniform titles to create a provisional key title in field 222.

***The Working Group is considering submission of a MARBI proposal to define a first indicator value to show that the key title is provisional.*

Other title information

Generally, it is not required to transcribe other title information unless it provides clarification or support to the title proper that otherwise might appear misleading without the other title information.

Record parallel titles and acronyms in field 246. It is not required to repeat parallel titles in 245 \$b.

Statement of responsibility

It is not required to transcribe a statement of responsibility of any kind if authority records exist or are being established and/or updated in the national authority file. In cases where no authority record will be created, transcribe the statement of responsibility so that usage can be documented.

Varying forms of title

Record variant titles that appear prominently in the resource being cataloged, and which a user might reasonably consider to be the title. LCRI 21.30J provides extensive guidance in this area. Also record as variant titles minor title changes. Do not spend a lot of time looking for information buried in the text of the item that could possibly be considered a variant. Refer to guidance in RI 21.30J regarding not creating all possible added entries when titles exhibit multiple possible variations. It is not required to provide information on the source of the variant title. Record in field 246 (as opposed to 245 \$b) acronyms and those language forms of parallel titles found on the chief source that are specified in the LCRIs for parallel titles. Use \$f to indicate applicable date ranges for parallel titles, if these change over time.

Record abbreviated running titles in field 210, not in field 246.

For online serials, as a general rule of thumb, do your best to find the earliest issue appearing on the site. Once you have located that issue, generally consider recording as variant titles only titles appearing in sources that can be accessed by scrolling up or down one or two pages from that issue's title page or title screen or by clicking on a prominently displayed icon or menu choice on a home page or a main menu page.

Place of publication, distribution, etc.

It is not required to supply a local place in 260 \$a. Instead, record the place of publication, distribution, etc. in coded form in 008/15-17. Exceptionally, if the local place is felt to be particularly significant for identification, the cataloger can supply it.

For example, place can be supplied for resources from obscure places, for resources in non-Western European languages, or where the place of publication is significant to the content of the resource.

Extent of publication

This element is not required except for non-print formats.

Dates of publication/designation

Always supply this note in an unformatted style (field 362, first indicator 1), which should make it more clear to the user that the information provided refers to beginning and ending dates of the publication, rather than a library's holdings.

It is not required to use abbreviations when supplying this information; transcribe the information as it appears on the item.

General notes:

Routinely provide only the following 500 notes but provide them on *all* records: Source of title, issue on which the description is based (DBO); latest issue consulted (LIC), if applicable).

***The Working Group is considering submission of a MARBI proposal to add subfields in Field 362 that could be used to indicate DBO and LIC for cataloger use, but suppressed, if a library desired, from OPAC displays.*

Systems details note

For direct access electronic resources, it is not required to make a 538 note except in cases when it is necessary to indicate the type of operating system or the make and model of the computer(s) on which the resource is designed to run.

For remote access electronic resources, make a note on mode of access only if the resource is accessed other than through the World Wide Web.

Language

Record the language of the publication in the fixed field (008 bytes 35-37). If the item's main content is in more than one language, record all languages in \$a of field 041 but do not code the other subfields. Record information about translations, different languages of summaries, tables of contents, or accompanying material only in an eye-readable 546 note.

***This is an example of what the Working Group felt to be unavoidable redundancy.*

Linking entry complexity note

It is not required to supply this information in a note. Use linking entries whenever possible.

***The Working Group is considering submission of a MARBI proposal to provide indicator values to accommodate multiple titles in linking fields so that 580 notes could be avoided in more cases.*

Notes to justify added entries

It is not required to use 550 or other notes simply to justify added entries. If a corporate body's name has changed over time, update the authority records in the national authority file to reflect these changes and add a note to record the dates the different bodies have been associated with the resource.

***The Working Group discussed the possibility of MARBI proposal to add an additional subfield in the 710 and 440/830 fields to show date ranges of bodies and series titles that pertain to only a portion of the serials's date range. Would this be confusing or useful?*

Series statement/notes

If series authority records exist or are being established and/or updated in the national authority file, it is not required to transcribe a series statement or note. Supply only the authorized form of the series name in the bibliographic record, using the 8XX field. Record variant forms of the series title in the authority record. Document changes in the series statement over time in a 500 note on the bibliographic record. In cases where no series authority exists or will be created, transcribe the series statement so that usage can be documented

Linking fields

Follow CONSER and MARC guidelines for supplying all linking fields except: 773 (host item), 774 (constituent unit entry), and 787 (non-specific relationship), which are not required. It is not required to make added entries (730, 740) that duplicate the linking field access points.

Use 776 \$i rather than a 530 note, to describe any additional physical formats available.

856 URLs, URIs

Remote access electronic resources generally have a URI associated with the resource. CONSER records should contain generally-accessible URIs that point to the publisher's version of the resource or to a version in a trusted archive. Local URIs or password-protected URIs should not be recorded in the national level record.

Establishing Corporate Headings

Create a name heading for a body in the form by which it is commonly identified, and which is used by the body itself. Determine this form of name from works issued by the body in its own language (including its Web site). For international bodies, or for bodies that include English as one of their official languages, use the English form of name.

If there are multiple forms of the name, prefer the form presented formally on the chief source and/or the predominant form as evidenced by other works issued by the body. If in doubt as to whether to choose the full form of the name over an acronym or initialism, always choose the full form. When faced with two equally acceptable name forms, do not agonize but rather choose one and make a reference from the other in the name authority record. Make as many references in the authority record as seem appropriate to provide access for users of the catalog in performing searches, including keyword searches

Add a qualifier to any name that in your judgment does not convey the idea of a corporate body. Also feel free to add a qualifier if in your opinion the addition assists in the understanding of the nature and purpose of the body.

Enter a subordinate body under the name of the higher or related body in all cases in which the name implies that it is an administrative part of another body, or in which the name is too general to stand by itself. When in doubt, assume that a name is general in nature and should therefore be entered subordinately. When in doubt as to whether to omit or retain any intervening body in a hierarchy, choose to retain it.

The desired result of your work is a name heading that, together with the references, provides access to the corporate body and its works. There are seldom “right” or “wrong” decisions in the grey areas of the name authority process; base your decisions on the usefulness of the name heading in providing access and collocation in the catalog.

Major vs. Minor Changes

Rules of thumb for problematic situations:

Resource-type words: If the word can be used with an indefinite article, consider it a resource-type word (using this guideline, *newspaper* is a resource-type word; *news* is **not** a resource-type word). Frequency words are not considered resource-type words (though commonly used that way in English). In case of doubt, consider a word to be a resource-type word.

Minor Word Variations: In case of doubt, consider a different representation to be the same word but use caution and perhaps a dictionary in the case of different grammatical forms since words like *man* and *male* are different words with different meanings.

Geographic term or government body? When the serial is issued by or associated with a government body, consider a geographic term to be a representation of the corporate body’s name (e.g., *California facts and figures* issued by an agency of the California state government).

Change of meaning or subject matter: Limit the application of this rule to changes that would be reflected in subject headings, and cases where the publisher indicates that the title change reflects a change in scope.

Title change analysis

Changed titles might include multiple changes simultaneously. The cataloger must determine whether *any* of the changes are considered major (since multiple minor changes are collectively still considered minor). Answering the following questions can help:

IS THERE A CHANGE IN MEANING OR
SUBJECT MATTER IN THE TITLE
SUCH THAT NEW SUBJECT HEADINGS
WOULD BE REQUIRED?

YES

MAJOR CHANGE

NO

MINOR CHANGE

IS THERE A CHANGE IN THE FIRST FIVE
WORDS THAT IS **NOT** A MINOR CHANGE*?

YES

MAJOR CHANGE

NO

MINOR CHANGE

IS THERE A DIFFERENT CORPORATE
BODY IN THE TITLE?

YES

MAJOR CHANGE

NO

MINOR CHANGE

*as defined in AACR 21.2A2